

Child Welfare Services New System

Legislative Update on Planning Activities

March 2013



Purpose of the Update

The California Department of Social Services (CDSS) is submitting this update to the Legislature pursuant to the 2012 Budget Act and Trailer Bill (SB 1041, Chapter 47, Statutes of 2012, Section 52(a)), which follows:

Section 52 (a) The State Department of Social Services (CDSS) shall use funding included in the Budget Act of 2012 related to the replacement of the Child Welfare Services/Case Management System (CWS/CMS) for the next steps necessary to move forward with the recommendation of the Child Welfare Automation Study Team (CAST) to proceed toward procuring a new system, consistent with a buy/build strategy, as described in the CAST report submitted to the Legislature. These next steps shall include, but shall not be limited to, completing, in consultation with the counties and the County Welfare Directors Association, a Feasibility Study Report (FSR) and federal Advance Planning Document (APD), as well as conducting other planning activities. The Office of Systems Integration (OSI) and the department shall report the results of these activities, in addition to the key milestones and anticipated timelines for any resulting procurement process, to the Legislature by March 1, 2013, for review during budget hearings in 2013.

Information in this update directly addresses the collaborative efforts between CDSS, Office of Systems Integration (OSI), County Welfare Directors Association (CWDA), and county stakeholders to complete a Feasibility Study Report (FSR), federal Advanced Planning Document(s), other planning activities, and any resulting procurement process.

Background

The CDSS Child Welfare Services (CWS) program provides services to abused and neglected children, children in placement, and their families. In order to effectively protect California's at risk children and preserve families, a multi-agency collaborative service approach supported by a comprehensive case management system is required. The case management system must provide data exchange with other systems, support evolving mobile computing devices, and have enhanced and expanded operational functionality to meet CWS business needs and federal Statewide Automated Child Welfare Information System (SACWIS) requirements. The new system must have robust case, process and outcome data reporting capability, to ensure state- and county-level analysis for program monitoring, evaluation, and policymaking. This is critically important in the CWS realigned environment.

The current automated system, Child Welfare Services/Case Management System (CWS/CMS) was implemented in the early 1990's based on the CWS business needs and practices at that time. Today it does not fully support child welfare practice and is no longer an economical, efficient, or effective automated tool for child welfare management and staff support. CWS workers do not have the appropriate tools or the ability to access all the available information needed to perform their jobs. Furthermore, the current system does not meet SACWIS

requirements, which may jeopardize the state's ability to obtain the highest level of federal financial participation (i.e., a fifty percent funding rate) in the future.

In 2003, California initiated the Child Welfare Services/Web (CWS/Web) Project to plan and implement a replacement system for the current CWS/CMS. The goal of the replacement system was to employ modern technologies and new functionality to effectively meet CWS business needs and federal SACWIS requirements. The CWS/Web Project, however, was indefinitely suspended in the 2011 State Budget Act, and the Legislature requested a report from CDSS in partnership with OSI, legislative staff, CWDA, and county stakeholders pursuant to AB 106 (Chapter 32, Statutes of 2011). The response entitled *The Report to the Legislature: Child Welfare Services Automation Study*, was submitted in April 2012, and contains:

- An assessment of the business needs of CWS
- An assessment of the existing system
- An analysis of viable automated system options to meet the critical business needs
- Communication from the federal government regarding SACWIS redesign requirements
- A recommendation on next steps, including a timeline and implementation approach

The report is available at:

http://www.dss.cahwnet.gov/cdssweb/entres/pdf/legislature/CWS_CMS_AutomationStudyLegislativeRpt.pdf

In summary, the report concluded that a Buy/Build approach is the best technical alternative to meet the CWS business needs and SACWIS requirements at the lowest cost and quickest delivery time. This approach involves "buying" an application that is already developed, tested and operational (e.g., commercial off-the-shelf software or a transfer system from another state) and "building" custom extensions (i.e., customized application code) to meet business functional needs not provided by the purchased application.

After submission of *The Report to the Legislature: Child Welfare Services Automation Study*, CDSS, OSI, CWDA, and the county stakeholders continued to review and analyze the feasibility of the recommended solution and pursued other planning activities pursuant to the 2012 Budget Act and Trailer Bill (SB 1041, Chapter 47, Statutes of 2012, Section 52(a)).

2012 Budget Act and Trailer Bill Defined Activities

Feasibility Study Report (FSR)

Start Date: February 2012

End Date: October 2012

Status: Completed

An approved FSR is required by statewide IT policy to launch a new project. It provides the business case, including problems and opportunities, and justifies the proposed solution, time, scope, cost, and resource needs for the planning, design, development, implementation, and maintenance and operations phases of the project. Approval of the FSR's planning and procurement phase (i.e., July 2013 to June 2015) was received from the California Technology Agency on January 10, 2013. The information provided in the FSR closely aligns with the business justification and recommendation provided in *The Report to the Legislature: Child Welfare Services Automation Study*.

Federal Advance Planning Documents (APDs)

Start Date: August 2012

End Date: December 2012

Status: Completed

The Federal APD is the funding and reporting mechanism by which CDSS reports the planning activities associated with building the CWS-NS to the Administration for Children and Families (ACF). The APD approval provides continued federal support of California's SACWIS activities, including funding at a rate of fifty percent.

CDSS and OSI, in collaboration with CWDA, completed the APD for federal fiscal year 2013 (i.e., October 2012 – September 2013). The APD was completed and submitted to ACF in December 2012. Approval of the APD was received from ACF on February 8, 2013.

Other Planning Activities (July 1, 2012 – June 30, 2013)

CDSS Budget Change Proposal (BCP) and Premise

Start Date: July 2012

End Date: January 2013

Status: Completed

CDSS, Children and Family Services Division, acting upon the legislative request for an FSR, identified the resource and planning needs for development of a SACWIS compliant, CWS case management system to replace the current system. A Budget Change Proposal to request funding for nine full-time, limited-term staff positions and associated Operating Expenses and Equipment (OE&E) was submitted to the Legislature for approval in the 2013-14 Governor's Budget. The nine limited-term positions will expire once CWS-NS is in full production. The Governor's Budget also requests funding for contracts for county consultants, Organizational Change Management (OCM) consulting, independent project oversight consulting, and independent verification and validation services.

OSI Budget Change Proposal

Start Date: July 2012

End Date: January 2013

Status: Completed

Similarly, the Governor's Budget also includes a BCP from OSI requesting expenditure authority for eight limited-term positions, associated OE&E, and contracts for county consultants, technical consulting services, and legal consulting services related to intellectual property. The staff are required to support planning and procurement activities.

Project Charter

Start Date: December 2012

Estimated End Date: June 2013

Status: In Progress

Industry best practices identify the necessity for a project charter to establish agreement between all project participants and the stakeholder community regarding project goals, objectives, success measures, boundary conditions, governance structure, scope, schedule, and resourcing.

CDSS and OSI, in collaboration with CWDA and the counties, will develop and manage the project charter as a living project artifact and will update it (through the project's change management process) as charter properties (e.g., goals, objectives, scope, governance structure, data reliability standards, etc.) change to meet the evolving needs of the project. In this same line of thought, major segments of work (e.g., Organizational Change Management (OCM), Technical Infrastructure Services and Support, External Systems analysis, Interface Development) will be chartered as sub-sections of the overall project charter, to specifically address unique aspects of these major segments (e.g., governance, resourcing, etc.).

The estimated completion date for the baseline version of the charter is June 2013.

External Systems Study

Start Date: November 2012

Estimated End Date: February 2014

Status: In Progress

An external systems study is needed to identify and assess state and county systems that are currently in operation to augment missing functionality in CWS/CMS. Many of these external systems are not SACWIS compliant, and ACF will not support or fund these systems in the future since the state's SACWIS must be the single system of record. CDSS, OSI, CWDA, and the counties plan to decommission external systems that are not SACWIS compliant once the CWS-NS goes into production. Results from the study will allow CDSS, OSI, CWDA, and the counties

to accurately determine which systems to decommission and what data to migrate over to CWS-NS.

As part of the study, CDSS and OSI, in collaboration with CWDA and the counties, will identify the existing external systems, assess the types and quantity of external system data, estimate the county resource requirements to support the data cleansing/migration of the data, and plan the timely and non-disruptive decommissioning of these systems.

The estimated completion date of the external systems study is February 2014.

Technical Infrastructure Services and Support Study

Start Date: November 2012

Estimated End Date: May 2013

Status: In Progress

A technical infrastructure services and support study is needed to determine whether the technical infrastructure (e.g., broadband capacity and network equipment) for CWS/CMS and the support services (e.g., network services and desktop support) currently provided to the counties are adequate to support the CWS-NS.

CDSS and OSI, in collaboration with CWDA and the counties, will conduct a study to:

- Collect and analyze data associated with CWS/CMS technical infrastructure and support services
- Perform a gap analysis between the CWS/CMS technical infrastructure and support services information and known requirements for CWS-NS
- Develop and review county capability profiles
- Develop logical infrastructure models

The estimated completion date of the technical infrastructure services and support study is May 2013.

Interface Development and Implementation Strategy

Start Date: December 2012

Estimated End Date: June 2013

Status: In Progress

An interface development and implementation strategy is needed to promote the successful development and implementation of the required system interfaces for CWS-NS. The project plans to develop and implement approximately nineteen interfaces with a variety of federal, state and county agencies. Some of the system interfaces are mandatory SACWIS requirements whereas others are required to meet CWS business needs.

The CDSS and OSI, in collaboration with CWDA and the counties, will develop a strategy to effectively develop and implement the nineteen system interfaces while mitigating any

downstream risks to the project. The strategy will provide goals, measurable objectives and tactical actions necessary to successfully complete the interface implementations. Based on this strategy, plans will be developed to define processes and procedures required to obtain buy-in from the interface partners, set up governance models and standards, establish memoranda of understanding or interagency agreements, and develop business data models and technical specifications. OSI will procure technical support services to assist the project team in developing and executing the interface development and implementation plans.

The estimated completion date of the interface development and implementation strategy is June 2013.

Recruit State Staff

Start Date: February 2013

Estimated End Date: July 2013

Status: In Progress

CDSS and OSI will initiate recruitment activities for the new state staff requested in their BCPs. As part of the recruitment, CDSS and OSI will identify, select and ready qualified candidates to ensure rapid staffing for the CWS-NS Project's planning and procurement phase. This will allow CDSS and OSI to minimize potential delays in project activities scheduled for July 2013 and beyond.

The estimated completion date to recruit the new state staff is July 2013.

Organizational Change Management Strategy

Start Date: December 2012

Estimated End Date: June 2013

Status: In Progress

An OCM strategy is needed to promote the successful implementation of the CWS-NS solution. Research has shown that fifty percent or more of a project's success is based on an effective OCM strategy and plan, especially when implementing commercial off-the-shelf software or a transfer system from another state.

OCM is the framework for managing the impact of new technology, new business processes, changes in organizational structure, changes in governance, and the cultural changes across the enterprise. OCM addresses the "people" side of change management.

To successfully implement OCM, the project must initiate and monitor the following five elements of change across the various stakeholder communities:

- **Organizational Performance Management:** the recurring activities that establish organizational goals, monitor progress toward the goals, and make adjustments to

achieve those goals more effectively and efficiently. This is performed primarily by the leaders and managers in stakeholder organizations.

- **Organizational Change:** the activities that focus on managing the impact of new technology, new business processes, changes in organizational structure, changes in governance, and cultural changes on the people within the enterprise to enhance the overall performance of the organization. These activities are often led by a change agent or person responsible for guiding the overall change effort. The activities often have a one-time occurrence and are geared to address a current problem or goal in the organization.
- **Organizational Development:** the evolution of the organization during the organizational change activities. Organizational development is an outcome of organizational change activities.
- **Change Management:** the implementation of a specific approach or methodology to ensure the organizational change effort is successful, including to ensure a clear vision and/or goals, and to modify systems in the organization to more effectively achieve the goals. Change management activities can range from a planned, structured and explicit approach to unplanned and implicit activities.
- **Change Agent:** a change agent is the person or organizational unit responsible for the overall change effort. The role can be performed by different people at different times.

CDSS and OSI, in collaboration with CWDA and the counties, will develop a strategy that will provide a systematic approach to OCM. The approach will formally set expectations, employ tools to improve communication and proactively seek ways to reduce misinformation, help stakeholders buy into change initially, and remain committed to the change throughout any discomfort associated with it.

The estimated completion date to develop the OCM strategy is June 2013.

Organizational Change Management Consultant Procurement

Start Date: November 2012

Estimated End Date: July 2013

Status: In Progress

An OCM consultant contract is needed to effectively implement the OCM Strategy developed by CDSS and OSI, in collaboration with CWDA and the counties. The consultant participation in the OCM effort will ensure OCM is planned and implemented using best practices and industry standards for the CWS-NS Project. Since California's child welfare services consist of a myriad of stakeholder groups that are complex and diverse, it is even more important that CDSS brings on consultants with the appropriate skill sets to properly implement OCM.

As mentioned earlier, successful implementation of OCM requires activities and skilled personnel associated with the five elements of change (i.e., Organizational Performance Management, Organizational Change, Organizational Development, Change Management, and

Change Agents). It is critical that these elements of change are integrated into the OCM plan and are effectively executed across the enterprise, including the key stakeholder groups.

While the project and the stakeholder communities can support these elements of change, the ability/skills to identify and simultaneously manage the varied elements cannot be effectively provided by state staff. To mitigate the skill deficiency and the risk associated with the highly complex and success critical implementation of OCM, CDSS will procure OCM consulting services to assist and support the project team.

The estimated date to complete the procurement process and award the OCM consultant contract is July 2013.

County Consultant Procurements

Start Date: October 2012

Estimated End Date: July 2013

Status: In Progress

County consultant contracts are executed by both CDSS and OSI to obtain current child welfare services program and business practice Subject Matter Expertise (SME) in support of the CWS-NS planning, development and implementation phases of the project. The county consultants act as liaisons to improve project communications between the state and the counties, and represent the counties when identifying and defining county business needs during all phases of the project. The necessary breadth of knowledge, experience and ability required to perform these services while also representing all fifty-eight counties is not available through the state civil service system.

CDSS and OSI, in collaboration with CWDA, have initiated recruitment activities to identify, select and ready qualified candidates to ensure rapid staffing for the CWS-NS planning and procurement phase. This will allow CDSS and OSI to minimize potential delays in project activities scheduled for July 2013 and beyond.

The estimated completion date to recruit the county consultants is July 2013.

Technical Support Services Consultant Procurement

Start Date: December 2012

Estimated End Date: July 2013

Status: In Progress

Technical support services are needed to implement the Interface Development and Implementation Strategy developed by CDSS and OSI, in collaboration with CWDA and the counties. Technical support services will ensure that the CWS-NS data exchange interfaces are implemented using best practices and industry standards. There are data exchange interfaces planned between the CWS-NS and nineteen federal, state and county systems. These agencies

use an assortment of systems ranging from legacy mainframe systems to modern systems built on multi-tiered or service oriented architectures using a variety of proprietary solutions.

Implementing the CWS-NS data exchange interfaces are required to meet SACWIS requirements, federal/state regulations and policies, and CWS business needs. Delivery of these data exchange interfaces as part of the new CWS-NS solution will require extensive analysis, collaboration and negotiation with the agencies that own the systems. This effort will require technical services consultants who:

- Understand and have demonstrated experience in defining and facilitating interoperability between diverse systems and organizations
- Have operational (technical) knowledge of a wide variety of platforms and computing infrastructures
- Can communicate the benefit(s) to the hosting agency in providing CWS access to the data
- Can facilitate opening or developing the gateway (interface) to the data
- Can facilitate the data availability model that best fits the CWS needs (real-time, scheduled batch, on-demand)
- Can assist in the negotiation of cost effective modifications (when required) with the hosting agency
- Can assist in the negotiation of interagency agreements and service level agreement guidelines and priorities that are in line with the data availability model

The necessary breadth of knowledge, experience and ability required to perform these services are not available through the state civil service system.

The estimated date to complete the procurement process and award the technical support services consultant contract is July 2013.

Legal Support Services Consultant Procurement

Start Date: April 2013

Estimated End Date: July 2013

Status: Not Started

Outside legal counsel specializing in drafting and negotiating contracts for large information technology procurements for human services is needed to ensure the contract between the state and Systems Integrator contains appropriate language to protect the interests of the federal and state government and mitigate any unnecessary risks. The legal counsel will have experience dealing with business and contract practices of large, international companies that are likely to bid on this project. With this experience, the legal counsel can advise the state on what language is essential to protect the federal and state government and what language to avoid during the development and negotiations of the contract. In addition, legal counsel will provide expert advice on intellectual property matters. Intellectual property includes not only software designs and custom application codes, but also other deliverables such as the content

within a training plan. It is critical that the federal and state government have specific rights to these properties in order to comply with various government laws and regulations.

Specifically, the duties of the outside legal counsel will assist the state in developing enforceable language for requirements in the Request for Proposal (RFP) for acquiring a Systems Integrator and the solution, reviewing vendor-proposed contract language changes, providing recommendations to the state on those proposed contract language changes, and providing advice to the state when negotiating special contract provisions. The necessary breadth of knowledge, experience and ability required to perform these services are not available through the state civil service system.

The estimated date to complete the procurement process and award the legal support services consultant contract is July 2013.

Procurement Process for the Systems Integrator and New Solution

Start Date: July 2013

Estimated End Date: July 2014

Status: Not Started

The delivery of the replacement CWS solution will be a collaborative effort of CDSS, OSI, CWDA, and the counties. CDSS, CWDA and the counties will provide the child welfare services program and business practice expertise, OSI will provide the project management and procurement expertise, and a Systems Integrator will be procured to implement the CWS-NS solution.

The Systems Integrator will provide the solution, the computing infrastructure, other required software, and contract services to implement the CWS-NS solution. The Systems Integrator will be responsible for the initial purchase of all hardware and software needed for the CWS-NS solution and will transfer the hardware titles, hardware maintenance agreements, software licenses, and software maintenance agreements upon state acceptance of the solution. Contract services are needed from the Systems Integrator to install, configure and implement the solution and the technical infrastructure. The Systems Integrator will also design, develop and implement several interfaces between the CWS-NS and other federal, state and county systems. The procurement of the System Integrator will be reflected in the business and system requirements in the RFP to be developed during the planning and procurement phase expected to initiate in July 2013.

Systems Integrator's Procurement Milestones

The following table identifies the milestones for execution of the project's planning and procurement phase:

No.	Milestone	Date
1	Begin Developing the RFP	07/01/13
2	Release RFP	07/01/14
3	Receive Final RFP Responses	03/06/15
4	Award Systems Integrator Contract	07/08/15